

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W. • WASHINGTON, D.C. 20005-3934

PHONE (202) 371-2600 • FACSIMILE (202) 371-2540 • www.skgf.com

ROBERT GREENE STERNE  
EDWARD J. KESSLER  
JORGE A. GOLDSTEIN  
SAMUEL L. FOX  
DAVID K.S. CORNWELL  
ROBERT W. ESMOND  
TRACY-GENE G. DURKIN  
MICHELE A. CIMBALA  
MICHAEL B. RAY  
ROBERT E. SOKOHL  
ERIC K. STEFFE  
MICHAEL O. LEE

STEVEN R. LUDWIG  
JOHN M. COVERT\*  
LINDA E. ALCORN  
ROBERT C. MILLONIG  
MICHAEL V. MESSINGER  
JUDITH U. KIM  
TIMOTHY J. SHEA, JR.  
DONALD R. MCPHAIL  
PATRICK E. GARRETT  
STEPHEN G. WHITESIDE  
JEFFREY T. HELVEY\*  
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JEFFREY R. KURIN  
RAYMOND MILLIEN  
PATRICK D. O'BRIEN  
LAWRENCE B. BUGAISKY  
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EDWARD W. YEE  
ALBERT L. FERRO\*  
DONALD R. BANOWIT  
PETER A. JACKMAN  
MOLLY A. MCCALL  
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JEFFREY S. WEAVER

KRISTIN K. VIDOVICH  
KENDRICK P. PATTERSON  
DONALD J. FEATHERSTONE  
GRANT E. REED  
VINCENT L. CAPUANO  
JOHN A. HARROUN\*  
ALBERT J. FASULO II\*  
W. BRIAN EDGE\*  
ELDORA ELLISON FLOYD\*  
W. RUSSELL SWINDELL  
THOMAS C. FIALA

KAREN R. MARKOWICZ\*\*  
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BRIAN J. DEL BUONO\*\*  
ANDREA J. KAMAGE\*\*  
NANCY J. LEITH\*\*  
ELIZABETH J. HAANES\*\*  
MARK P. TERRY\*\*  
TARJA H. NAUKKARINEN\*\*

\*BAR OTHER THAN D.C.  
\*\*REGISTERED PATENT AGENTS

January 26, 2001

WRITER'S DIRECT NUMBER:

(202) 789-5524

INTERNET ADDRESS:

JKURIN@SKGF.COM

**Box Patent Application**

Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Divisional Patent Application under 37 C.F.R. § 1.53(b)  
(claiming priority to U.S. Appl. No. 09/296,285; filed: April 22, 1999)  
Appl. No. (to be assigned); Filed: Herewith  
For: **Kit for Transvenously Accessing the Pericardial Space Via the Right  
Atrium (As Amended)**  
Inventors: Verrier *et al.*  
Our Ref: 1565.0020002

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office:

1. Fee Transmittal Form PTO/SB/17 (in duplicate);
2. USPTO Utility Patent Application Transmittal Form PTO/SB/05;
3. Application Data Sheet;
4. U.S. Divisional Patent Application entitled:

**Kit for Transvenously Accessing the Pericardial Space Via the Right Atrium**

Commissioner for Patents

January 26, 2001

Page 2

and naming as inventors:

Richard L. Verrier

Sergio Waxman

the application comprising:

- a. specification containing:
    - i. 26 pages of description prior to the claims;
    - ii. 13 pages of claims (41 claims);
    - iii. a one (1) page abstract;
  - b. Nine (9) sheets of drawings: (Figures 1-10);
  - c. A copy of the executed combined Declaration and Power of Attorney, as originally filed in U.S. Appl. No. 09/296,285;
  - d. A copy of the Statement Claiming Small Entity Status--Non-Profit Organization, as originally filed in U.S. Appl. No. 09/296,285;
5. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time (in duplicate);
  6. A Preliminary Amendment;
  7. Letter to PTO Draftsman: Submission of Formal Drawings;
  8. Nine (9) sheets of Formal Drawings, approval of which is respectfully requested;
  9. An Information Disclosure Statement (IDS);
  10. Form PTO-1449 (4 pages) with 53 accompanying documents;
  11. Two (2) return postcards; and
  12. Our check No. 30161 for \$ 355.00 to cover:  
\$ 355.00 for Filing fee for patent application.

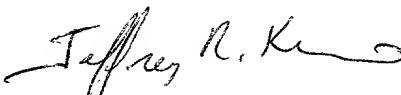
09/296,285

Commissioner for Patents  
January 26, 2001  
Page 3

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey R. Kurin  
Attorney for Applicants  
Registration No. 41,132

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.

1565.0020002

First Inventor

Verrier

Title

Kit for Transvenously Accessing the Pericardial Space of the Right Atrium (As Amended)

Express Mail Label No.

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 40 ]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9 ]
5. Oath or Declaration [Total Pages 2 ]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program  
(Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)  
Letter to PTO Draftsman: Submission of Formal Drawings  
Nine (9) sheets of Formal Drawings  
A copy of a Statement Claiming Small Entity Status--Non-  
Profit Organization, as originally filed in U.S. Appl. No.  
09/296,285

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 09/296.285Prior application information: Examiner M. Mendez Group/Art Unit: 3763

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

NAME

STERNE, KESSLER, GOLDSTEIN &amp; FOX P.T.L.C.

Attorneys at Law

ADDRESS

Suite 600, 1100 New York Avenue, N.W.

CITY

Washington

STATE

DC

ZIP CODE

20005-3934

COUNTRY

USA

TELEPHONE

(202) 371-2600

FAX

(202) 371-2540

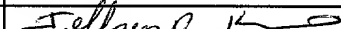
NAME (Print/Type)

Jeffrey R. Kurin

Registration No. (Attorney/Agent)

41,132

SIGNATURE



Date

1/26/01

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 355.00)

## Complete if Known

Application Number	(to be assigned)
Filing Date	Herewith
First Named Inventor	Verrier
Examiner Name	(to be assigned)
Group Art Unit	(to be assigned)
Attorney Docket No.	1565.0020002

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account  
Number

19-0036

Deposit Account  
Name

Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money Order ☒ Other\*

\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

## FEE CALCULATION

### BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)					355.00

### 2. EXTRA CLAIM FEES

Extra	Fee from below	Fee Paid
Total Claims 12 - 20** = 0 X \$9.00 = \$0.00		
Indep. Claims 2- 3** = 0 X \$40.00 = \$0.00		
Multiple Dependent	\$135.00	\$0.00

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	208	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

\*\* or number previously paid, if greater; For Reissues, see above

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00

## SUBMITTED BY

Name (Print/Type) Jeffrey R. Kurin  
Attorney for Applicants

Signature

*Jeffrey R. Kurin*

Registration No.  
(Attorney/Agent)

41,132

## Complete (if applicable)

Telephone

202-371-2600

Date

1/26/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

10085 U.S. PTO  
09/769439  
01/26/01

In re application of:

Verrier *et al.*

Appl. No. (to be assigned)  
(this is a divisional of U.S. Patent Appl.  
No. 09/296,285, filed: April 22, 1999)

Filed: Herewith

For: **Kit for Transvenously Accessing  
the Pericardial Space Via the  
Right Atrium** (As Amended)

Art Unit: (to be assigned)

Examiner: (to be assigned)

Atty. Docket: 1565.0020002

**Authorization To Treat A Reply As Incorporating An Extension Of Time  
Under 37 C.F.R. § 1.136(a)(3)**

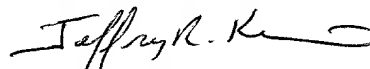
Commissioner for Patents  
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey R. Kurin  
Attorney for Applicants  
Registration No. 41,132

Date: 1/26/01  
1100 New York Avenue, N.W., Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600